

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	LEX-009DV
First Named Inventor	Lo
Title	Expression and Export of Interferon-Alpha Proteins as Fc Fusion Proteins

ADDRESS TO: **Box Patent Application**  
**Commissioner for Patents**  
**Washington, D.C. 20231**

- |    |                                     |  |
|----|-------------------------------------|--|
| 1. | <input checked="" type="checkbox"/> | Fee Transmittal Form   |
| 2. | <input type="checkbox"/>            | Small Entity Status<br><input type="checkbox"/> Applicant claims small entity status<br><input type="checkbox"/> Status established in prior application and is still proper and desired   |
| 3. | <input checked="" type="checkbox"/> | Specification and Drawings [Total Pages 65]<br>- Written Description - (35 pages)<br>- Claims - (3 pages)<br>- Abstract - (1 page)<br>- Sheets of Drawings - (3 sheets)<br><input checked="" type="checkbox"/> Informal<br>- Sequence listing - (23 sheets)  |
| 4. | <input checked="" type="checkbox"/> | Oath or Declaration [Total Pages 3]<br>a. <input type="checkbox"/> Newly executed (original)<br>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br><i>(for continuation/divisional with Box 17 completed)</i><br><i>[Note Box 5 below]</i>   |
| 5. | <input checked="" type="checkbox"/> | Incorporation by Reference (usable if Box 4b is checked)<br>The entire Disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.  |
| 6. | <input checked="" type="checkbox"/> | Application Data Sheet (2 pages)   |
| 7. | <input checked="" type="checkbox"/> | Nucleotide and/or Amino Acid Sequence Submission<br>Copy from prior application (23 pages)<br><input checked="" type="checkbox"/> Statement for Transfer of Computer Readable Form from co-pending application (1 page)<br><input checked="" type="checkbox"/> Paper Copy (identical to computer copy)<br><input type="checkbox"/> CD (2 copies) (identical to computer copy)<br><input checked="" type="checkbox"/> Statement verifying identity of paper and Computer Readable Form (1 page) |

8. ☐ 37 CFR 3.73(b) Statement (*when there is an assignee*)  
☐ Power of Attorney

9. ☐ English Translation Document (*if applicable*)

10. ☒ Information Disclosure Statement (IDS)/PTO-1449  
☒ Copies of IDS Citations

11. ☒ Preliminary Amendment (8 pages)  
☐ Drawings [Total Sheets ]

12. ☒ Return Receipt Postcard (*specifically itemized*)

13. ☐ Certified Copy of Priority Document(s) (*if foreign priority claimed*)

14. ☐ Nonpublication Request Under 35 U.S.C. 122(b)

15. ☐ CD in duplicate for large table or computer program

16. ☐ Other:

17. ☒ **If a CONTINUING APPLICATION:** Amend the specification by inserting on page 1, before the first line, the sentence:  
--This is a  
☐ continuation      ☒ **divisional**      ☐ continuation-in-part of prior application Serial No. 09/575,503, filed on, May 19, 2000, which claims priority to U.S. Provisional Application Serial No. 60/134,895, filed on May 19, 1999, the entire disclosures of which are incorporated by reference herein.--

**Priority to the above application(s) is claimed under 35 U.S.C. 120.**

Prior application information: Examiner: Dong Jiang. Group/Art Unit: 1646.

18. ☐ **Priority - 35 U.S.C. 119**  
☐ Priority of application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_ in \_\_\_\_\_ is claimed under 35 U.S.C. 119.  
☐ The certified copy has been filed in prior U.S. application Serial No. \_\_\_\_\_/\_\_\_\_\_ on \_\_\_\_\_.  
☐ The certified copy will follow.

### SIGNATURE BLOCK

Direct all correspondence to: Patent Administrator  
Testa, Hurwitz & Thibault, LLP  
High Street Tower  
125 High Street  
Boston, MA 02110  
Tel. No.: (617) 248-7000  
Fax No.: (617) 248-7100  
Customer No. 021323

Date: October 11, 2001  
Reg. No. 41,418  
Tel. No.: (617) 248-7240  
Fax No.: (617) 248-7100

Respectfully submitted,  
*Pat R H Waller*  
Patrick R. H. Waller, Ph.D.  
Agent for the Applicants  
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High Street Tower  
125 High Street  
Boston, MA 02110

# **FEE TRANSMITTAL** **FY 2002**

Complete if Known

Application Serial Number	Not Yet Assigned
Filing Date	October 11, 2001
First Named Inventor	Lo
Group Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket No.	LEX-009DV

**METHOD OF PAYMENT**

1. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other
2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 20-0531.  
☐ Required Fees (copy of this sheet enclosed).  
☒ Additional fee required under 37 CFR 1.16 and 1.17.  
☒ Overpayment Credit.
3. ☐ Applicant claims small entity status.

**FEE CALCULATION****1. FILING FEE****Large Entity**

Fee (\$)	Fee Description	Fee Paid
740	Utility filing fee	740.00
330	Design filing fee	
160	Provisional filing fee	

Number Filed	Number Extra	Rate	Amount
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Total Claims - 20 = x \$ 18.00 =

Independent Claims - 3 = x \$ 84.00 =

☐ Multiple Dependent Claim(s), if any \$280.00 =

TOTAL:  
SMALL ENTITY DISCOUNT:

**SUBTOTAL (1)** (\$) 740.00

**2. AMENDMENT CLAIM FEES**

Claims	Highest No. Remaining After Amend.	Present Previously Paid For	Rate	Fee Paid
Total	-	=	x \$ 18.00 =	
Indep.	-	=	x \$ 84.00 =	
<input type="checkbox"/> First Presentation of Multiple Dep. Claim				+ \$280.00 =

TOTAL: (\$)   
 SMALL ENTITY DISCOUNT: (\$)   
**SUBTOTAL (2)** (\$)

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	Request for ex parte reexamination	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1440	720	Extension for reply within fourth month	
1960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
130	130	Petitions to the Commissioner	
180	180	Submission of Information Disclosure Statement	
740	370	Filing a submission after final rejection (37 CFR 1.129(a))	
740	370	For each additional invention to be examined (37 CFR 1.129(b))	
100	100	Certificate of Correction for applicant's error	

Other fee (Specify)

Other fee (Specify)

**SUBTOTAL (3)** (\$)**SUBTOTAL (1)** 740.00**SUBTOTAL (2)****SUBTOTAL (3)****TOTAL** (\$) 740.00**CORRESPONDENCE ADDRESS**

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Date: October 11, 2001  
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Respectfully submitted,

*Pat R.H. Wall*  
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Express Mail Label No.: EL816677578US

PATENT

Atty. Docket No. LEX-009DV

(4006/20)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT(S): Lo et al.

SERIAL NUMBER: Not Yet Assigned  
(Divisional of U.S.S.N. 09/575,503)

GROUP NUMBER: Not Yet Assigned

FILING DATE: October 11, 2001

EXAMINER: Not Yet Assigned

TITLE: Expression and Export of Interferon – Alpha Proteins as Fc Fusion Proteins

**REQUEST TO USE COMPUTER READABLE FORM OF SEQUENCE LISTING FROM  
ANOTHER APPLICATION**

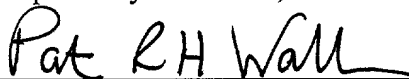
Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants hereby request that the computer readable copy of the sequence listing be transferred from another application.

Applicants hereby state that the computer readable form of sequence listing in the instant divisional application is identical with that filed in the co-pending parent U.S. Application Serial Number 09/575,503, filed on May 19, 2000. In accordance with 37 CFR 1.821 (e), please use the computer readable form of sequence listing filed in United States Serial Number 09/575,503, for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in the application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is included in the originally filed specification of the instant application.

Respectfully submitted,



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Date: October 11, 2001

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